

Quality Procedure Interim Change Notice (ICN)

Effective Date: **9/9/02**

6 Page(s)

Section 1: Description of Change (Requestor completes)

1. Document Catalog No.: **ER2002-0469**

2. QP & Rev. No.:
QP-4.9, R2

3. Interim Change No.: 1

4. QP Title: Document Development and Approval Process:
Peer Review Required

5. Description of Change:

1) Add Section 2.12 to Section 2.0 DEFINITIONS, as follows:

2.12 Record — By law, 44 USC 3301, "records" include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by the ER Project in connection with the transaction of business and preserved or appropriate for preservation by the ER Project or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the ER Project or because of the informational value of data in them. (Ref. LANL LIR 308-00-02.0).

Note: "Records are preserved as evidence of policies, decisions, operations, and procedures because of their informational evidential value" (LANL LIR 308-00-02.0).

At LANL, it includes information, regardless of media type, including electronic, created or received in connection with the transaction of Laboratory programs and operations. Some examples include, but are not limited to, official correspondence and memoranda (including email), Laboratory notebooks, publications, project plans and reports, technical reports, maps drawings, graphics, calculations, as-built specifications, photographs, film and video, microfilm, sound recordings, machine readable materials, completed Laboratory forms, and stack emission filter raw data" (LANL LIR 308-00-02.0).

2) Replace Attachment A with attached pages.

3) Replace Attachment B with attached pages. Reference this table instead of Section 4.1.2.

4) Replace Attachment C with attached page.

5) Change Section 5.6 in Section 5.0 RECORDS, renumbering rest of list appropriately as follows:

5.6 Hardcopy of any electronic mail (i.e., e-mail) that documents any policies, decisions, operations, procedures, or other activities of the ER program.

6. Attachments Modified, Added, or Removed:

☒ Yes

☐ No

7. Justification for ICN:

Documents current process.

8. Requestor: E. Jeanne Hamilton [Signature on File]
(Print name, then sign.)

8/29/02
(Date)

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Section 2: Evaluation and Approval (QPPL and the Focus Area Leader completes)

9. Evaluation Remarks: (If none, enter N/A)

NA

10. Focus Area Leader: NA

(Print name, then sign.)

(Date)

11. Technical Reviewer: NA

(Print name, then sign.)

(Date)

12. QPPL: Larry Maassen [Signature on file.]

(Print name, then sign.)

8/29/02

(Date)

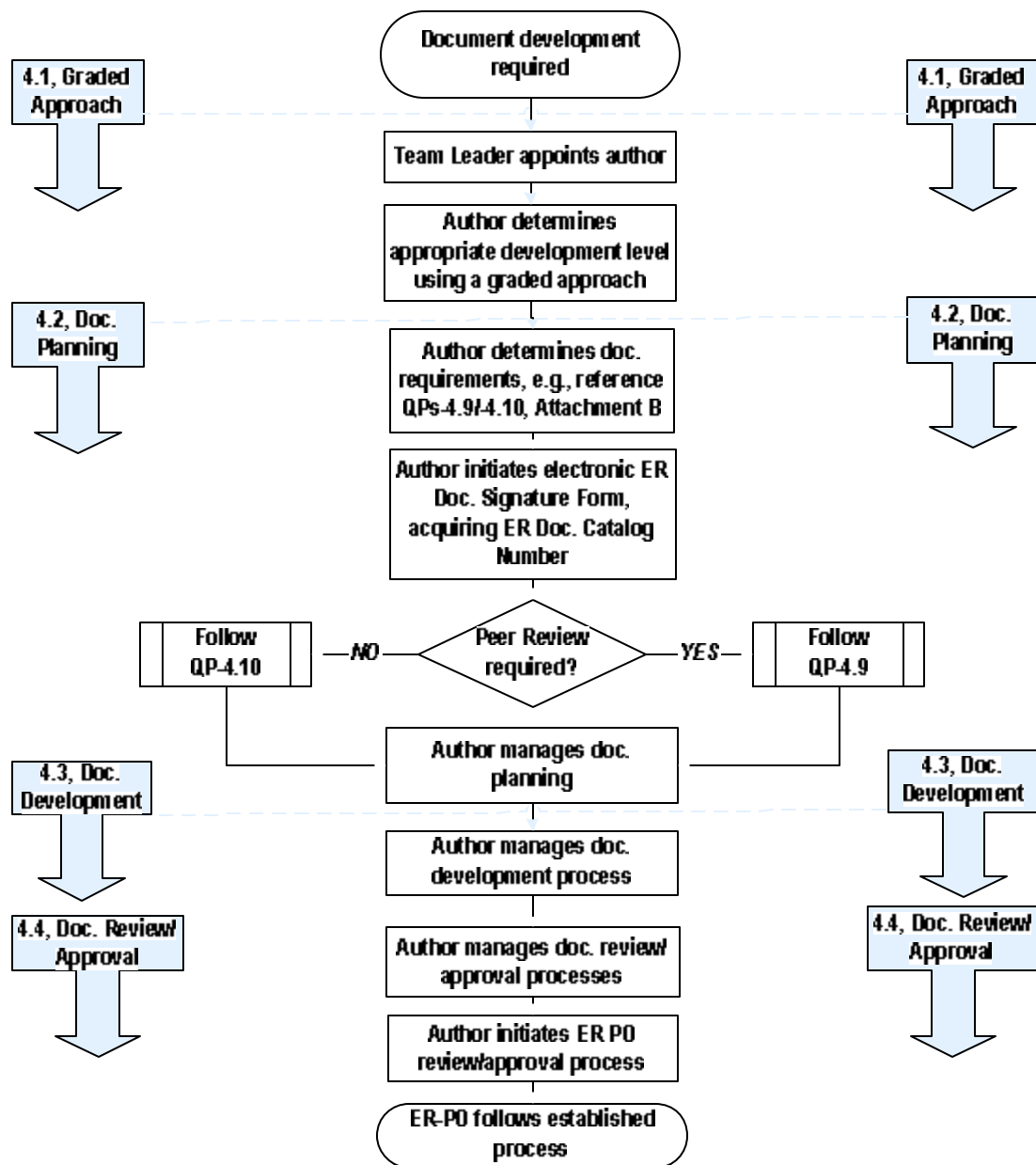
LANL-ER-QP-4.1, R4

Los Alamos
Environmental Restoration

[Using a token card, click here to record "self-study" training to this procedure.](#)

If you do not possess a token card or encounter problems, contact the RRES-ECR training specialist.

Document Development and Approval Decision Process Flow Diagram



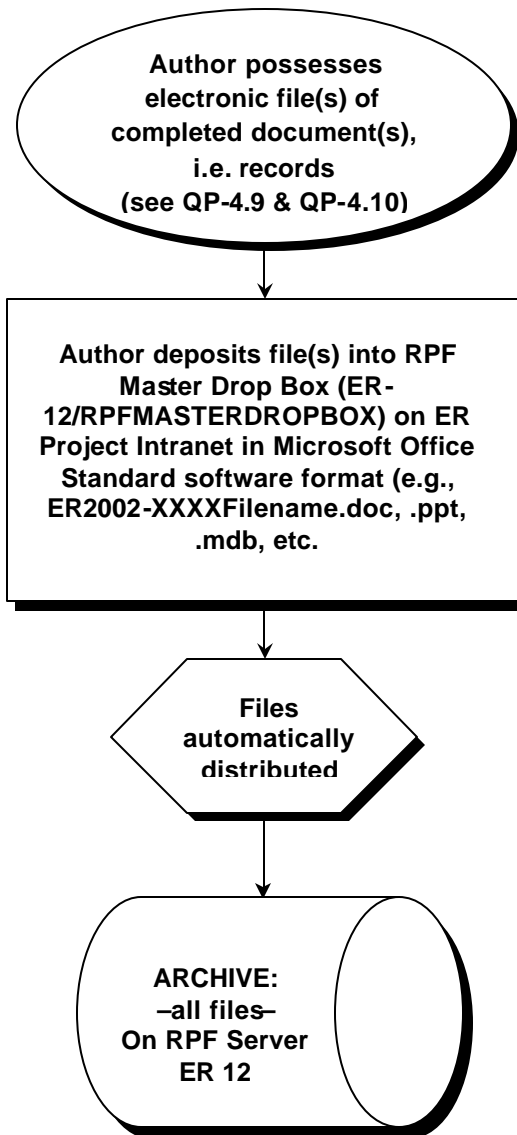
ER Documents Matrix											
DOCUMENT	REVIEW / APPROVAL SIGNATURE REQUIRED									S-7 (LA-UR#)	CERTIFICATION REQUIRED
	PEER REVIEW CHAIR	RRES- SWRC	ER-ADC	REGULATORY COMPLIANCE	LABORATORY COUNSEL	DOE-LAAO	FOCUS AREA LEADER	DOE-LAAO PROG. MGR.	ER PROGRAM MANAGER		
PEER REVIEW REQUIRED (QP-4.9)											
<i>External Distribution:</i>											
Citizens' Guide	◆		◆	◆	◆	◆	◆		◆	◆	
CMS Work Plan	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
CMS Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
Geochem Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Guidance Document	◆		◆	◆	◆	◆	◆	◆	◆	◆	
Information Sheets	◆		◆	◆	◆	◆	◆		◆	◆	
Interim Action Plan	◆		◆	◆	◆	◆	◆	◆	◆	◆	
Interim Action Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Interim Measures Plan	◆		◆	◆	◆	◆	◆	◆	◆	◆	
Interim Measures Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	
IWP Update	◆		◆	◆	◆	◆	◆	◆	◆	◆	◆
Quarterly Appendix F Self Assessment	◆		◆	◆	◆	◆	◆		◆	◆	
RCRA RFI Work Plan*	◆		◆	◆	◆	◆	◆	◆	◆	◆	◆
Reach Report	◆		◆	◆	◆	◆	◆	◆	◆	◆	◆
RFI Report (Phase 1 & 2)*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
SAP & SAP Addendum	◆		◆	◆	◆	◆	◆	◆	◆	◆	
Technical Paper/Report	◆		◆	◆	◆	◆	◆	◆	◆	◆	
Technical Specification	◆		◆	◆			◆		◆	◆	
VCA Plan*	◆		◆	◆	◆	◆	◆	◆	◆	◆	
VCA Report*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
VCM Plan*	◆		◆	◆	◆	◆	◆	◆	◆	◆	
VCM Report*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
Well Completion Report (PM related)	◆		◆	◆	◆	◆	◆	◆	◆		
<i>Internal Distribution:</i>											
Memorandum of Understanding (MOU)	◆						◆		◆	◆	
QMP	◆						◆		◆		
QP*	◆						◆		◆		
SAP (supplemental)	◆						◆		◆		
SOP*	◆						◆				
SOW*	◆						◆				


* http://erinternal.lanl.gov/home_links/Library_doctemp.shtml

ER Documents Matrix											
DOCUMENT	REVIEW / APPROVAL SIGNATURE REQUIRED									S-7 (LA-UR#)	CERTIFICATION REQUIRED
	PEER REVIEW CHAIR	RRES- SWRC	ER-ADC	REGULATORY COMPLIANCE	LABORATORY COUNSEL	DOE- LAAO	FOCUS AREA LEADER	DOE-LAAO PROG. MGR.	ER PROGRAM MANAGER		
PEER REVIEW NOT REQUIRED (QP-4.10)											
External Distribution:											
AA-Negotiated Document		◆	◆	◆	◆	◆		◆	◆	◆	
Access Agreement			◆		◆				◆	◆	
Baseline Document			◆			◆	◆	◆	◆	◆	
Brochure			◆		◆		◆		◆	◆	
Display Posters/Ad			◆				◆		◆	◆	
Lessons Learned Document			◆						◆	◆	
Monthly CMS Progress Report		◆	◆	◆	◆	◆	◆	◆	◆	◆	
Multi-Media Video			◆						◆	◆	
Permit Modification		◆	◆	◆	◆	◆		◆	◆	◆	◆
Public Web Page			◆		◆				◆	◆	
Press Release			◆	◆	◆		◆		◆	◆	
Quarterly Technical Report*			◆	◆	◆	◆	◆	◆	◆	◆	◆
Transmittal Letter							◆	◆	◆		
Viewgraphs (external)*			◆				◆		◆	◆	
Accelerated Process / External:											
Compliance Order Response		◆	◆	◆	◆	◆			◆	◆	◆
NOD Response*		◆	◆	◆	◆	◆			◆	◆	◆
RSI Response*		◆	◆	◆	◆	◆			◆	◆	
Internal Distribution:											
Assessment Document*									◆		
Desk Instruction*											
Directive (internal)									◆		
Field Notebooks											
Interim Change Notice (ICN)*							◆		◆		
Nonconformance/Deficiency Corrective-Action Report (NDCR)*									◆		
Memorandum									◆		
Site-Specific Health & Safety Plan (Technical review required.)							◆				
Viewgraphs (internal)*											

* http://erinternal.lanl.gov/home_links/Library_doctemp.shtml

ER Project Record, Electronic-File Capture Process Flow Diagram



Identifier: QP-4.9	Revision: 2	Effective Date: 02/12/2001	 <p>A Department of Energy Environmental Cleanup Program</p>
ER Catalog Number: ER2000-0556			
Author: E. Jeanne Hamilton			

Environmental Restoration Project Quality Procedure

for:

Document Development and Approval Process: Peer Review Required

Los Alamos

NATIONAL LABORATORY

Los Alamos, New Mexico 87545

Los Alamos National Laboratory, an affirmative action/equal opportunity employer, is operated by the University of California for the United States Department of Energy under contract W-7405-ENG-36.

Revision Log

<i>Revision (Date)</i>	<i>Prepared By</i>	<i>Description of Changes</i>	<i>Affected Pages</i>
2 (02-12-01)	E. Jeanne Hamilton	Minor text changes: new document types, etc.	All

Document Development and Approval Process: Peer Review Required

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List of Acronyms and Abbreviations

AA	administrative authority	RCRA	Resource Conservation and Recovery Act of 1976
AOC	area of concern		
CMS	corrective measures study	RC	Regulatory Compliance Focus Area
DOE	US Department of Energy	RFI	RCRA facility investigation
DT	document team	S-7	Classification Group
ER	environmental restoration	SAP	sampling and analysis plan
IA	interim action	SOP	standard operating procedure
IM	interim measure	SOW	statement of work
IWP	installation work plan	TD	transmittal document
LA-UR	Los Alamos - Unlimited Release	TIR	technical information release
LC	Laboratory Counsel	URL	uniform resource locator
NMED	New Mexico Environment Department	VCA	voluntary corrective action
PO	Project Office	VCM	voluntary corrective measure
PRS	potential release site		
QP	quality procedure		

Document Development and Approval Process: Peer Review Required

NOTE: ER Project personnel may produce paper copies of this procedure printed from the controlled-document electronic file located at http://erinternal.lanl.gov/home_links/Library_proc.htm. However, it is their responsibility to ensure that they utilize and train to the current version of this procedure. The author may be contacted if text is unclear.

1.0 PURPOSE

This Quality Procedure (QP) describes the Los Alamos National Laboratory (Laboratory) ER Project process for planning, developing, reviewing, and approving ER Project documents that require a peer review in accordance with QP-3.5, Peer Review Process (<http://erinternal.lanl.gov/Quality/user/qps.asp>) (see Attachment A, Document Development and Approval Decision Process Flow Diagram, and Attachment B, Environmental Restoration Project Documents Matrix).

2.0 DEFINITIONS

- 2.1 Administrative authority — The New Mexico Environment Department (NMED), US Environmental Protection Agency, or the U.S. Department of Energy (DOE), as appropriate.
- 2.2 Certification — A signed statement required by permits that is attached to all reports and to other information requested by the administrative authority (AA). Certification ensures that a document and all its attachments were prepared under the direction or supervision of an authorized person in accordance with a system designed to ensure that qualified personnel properly gather and evaluate the information submitted; it carries significant penalties for known violations [Permit Program, 27.11(b)(c)(d)].
- 2.3 Decision peer review — A review that occurs before document writing has begun. This review focuses on the appropriateness of the stated objectives for the identified program, adequacy of the proposed approach to address the objectives, and identification of concerns and necessary contingencies (see QP-3.5, Peer Review Process).
- 2.4 Document — A written or pictorial compilation of information that describes, defines, specifies, reports, or certifies activities, requirements, procedures, or results (e.g., any plan, report, proposal, regulatory response, permit modification request, document addendum or update, or procedure) that must be submitted to AA or has significance to the operations of the ER Project. Representative document types are listed in Section 4.1.2 below and in Attachment B.

- 2.5 Document peer review — The review of a completed draft of a document that focuses on clarity of presentation and consistent, appropriate format and content in addition to appropriate approach. This review may be in the form of a panel review or a read review (reference QP-3.5, Peer Review Process).
- 2.6 ER Project document catalog number — The unique document identifier, automatically assigned to a document when an on-line ER Project Document Signature Form is initiated, located at the following Web uniform resource locator (URL), <http://erinternal.lanl.gov/DocCatalog/>.
- 2.7 ER Project Document Signature Form — The form generated on-line, located at the following Web URL, <http://erinternal.lanl.gov/DocCatalog/>, that documents the review and approval process for all internally developed documents and automatically acquires the document catalog number.
- 2.8 Final document — This term refers to a document that is subject to the QP-4.9 (or QP-4.10) process and that
- has addressed all comments from all required reviews;
 - has undergone a full edit;
 - is composited in accordance with current ER Project and Laboratory standards, if applicable;
 - has a completed ER Project Document Signature Form; and
 - is considered ready for submission to the AA, if applicable.
- 2.9 Graded approach — A management tool used to evaluate the importance and relative risk of an item, activity, or service in the working process.
- 2.10 Los Alamos unlimited release (LA-UR) number — The identification number required for all documents or presentations prepared for distribution outside the Laboratory. LA-UR numbers are attained by filling out a Technical Information Release (TIR) form located on the Laboratory network under documents, Web URL (<http://enterprise.lanl.gov/alpha.htm>) and submitting the form with a specified number of copies of the document to the Laboratory's Classification Group (S-7) for review.
- 2.11 Required outline — A specified outline that dictates the format and content of documents; contact the Regulatory Compliance Focus Area (i.e., by e-mail, telephone, or as appropriate) for information about required outlines and guidance for preparing documents for which no required outline exists (also see Section 4.1.2 below for representative document types and/or Attachment B).

3.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities based on a graded approach identified in Section 4.1 of this procedure.

3.1 Author

3.2 Document Team

- 3.3 ER Program Manager
- 3.4 ER Project, Project Office Administrator
- 3.5 ER Project Technical Writer/Editor
- 3.6 Team Leader
- 3.7 Technical Reviewers

4.0 PROCEDURE

4.1 Graded Approach

- 4.1.1 The following process describes the most rigorous requirements for document development, review, and approval. Attachment A, Document Development and Approval Decision Process Flow Diagram, demonstrates the document-development decision process. A graded approach (see Section 2.9 above), as determined by the author during document planning, is allowed based on the document type (see Section 4.1.2 below), size, and review/approval requirements depicted in Attachment B, Environmental Restoration Project Documents Matrix. If during the planning stages the author determines that he or she can meet all requirements without following each step below, the identified step may be omitted as appropriate.
- 4.1.2 The following list identifies representative documents produced by the ER Project that require a peer review (follow QP-3.5). Note that the asterisk identifies the source, when it is available, of an official outline/template for a document type (also see Attachment B).

Representative Documents for External Distribution:

- Citizens' Guide
- Corrective Measures Study (CMS) Plan
- CMS Report
- Field Implementation Plan (FIP)
- Guidance Document
- Information Sheets
- Integrated Sampling and Analysis Plan (SAP)
- Interim Action (IA) Plan
- IA Report
- Interim Measures (IM) Plan
- IM Report
- Installation Work Plan (IWP) Update
- Quarterly Technical Report*
- RCRA (Resource Conservation and Recovery Act) Facility Investigation (RFI) Work Plan*

- REACH Report
- RFI Report (Phases 1 & 2)*
- SAP Addendum*
- Site-Specific Health and Safety Plan (SSHASP)
- Technical Paper/Report
- Voluntary Corrective Action (VCA) Plan*
- VCA Report*
- Voluntary Corrective Measures (VCM) Plan*
- VCM Report*
- Well Completion Report (Performance-Measure Related)

Representative Documents for Internal Distribution:

- Quality Management Plan (QMP)
- Quality Procedure (QP)*
- SAP (supplemental)*
- Standard Operating Procedure (SOP)*
- Statement of Work (SOW)*

Note: A SOW modification requires **no** peer review if only an extension to the period of performance is required, a raise in the contract ceiling occurs, the regulatory authority directs a change, or the modification is minor in technical scope (e.g., a change in the number of samples collected, etc.). All SOW modifications that receive no peer review shall require the appropriate Quality Liaison's review and approval.

* http://erinternal.lanl.gov/home_links/Library_doctemp.htm

4.2 Document Planning

4.2.1 Appoint an Author

The **team leader** appoints an author to coordinate the planning, development, review, and approval of the document. However, the **team leader** supports the author throughout the document-development process.

4.2.2 Acquire the ER Project Document Signature Form

The **author** initiates the ER Project Document Signature Form that automatically acquires the ER Project document catalog number from the ER Project internal homepage located at the Web URL, <http://erinternal.lanl.gov/DocCatalog/>; fills out the required and associated fields; and prints out the form.

Note: It is the author's responsibility to populate associated fields and acquire all required (see Attachment B) approval signatures on this ER Project

Document Signature Form paper copy as he or she moves a document through the review and approval process steps defined in this QP.

Note: If a potential release site (PRS) delineation is required in the title and since all project information systems depend upon consistent PRS delineation to track project work, the proper format is demonstrated in Figure 4.2-1, below.

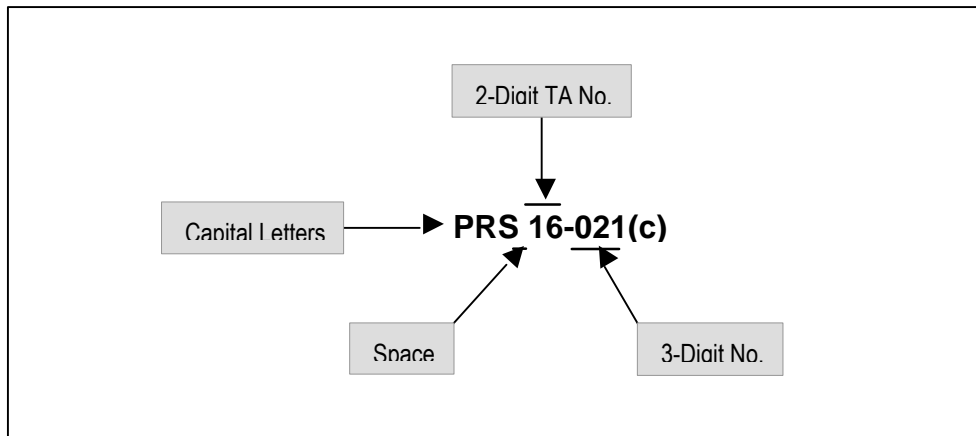


Figure 4.2-1. Proper configuration of the PRS number in a document title for an RFI report for PRS 16-021(c)

If you refer to more than one PRS, indicate them individually [e.g., PRS 03-005(a), PRS 03-005(b), and PRS 03-005(c), **not** PRS 03-005(a-c) or PRSs 03-005, -006]. In cases of areas of concern (AOCs), a capital “C-” designator usually precedes the two-digit TA identifier. If the PRSs are consolidated, use the consolidation number, [e.g., PRS 16-021(c)-99].

4.2.3 Select the Document Team

4.2.3.1 The **author** selects a document team to assist in the preparation of the document. The document team may include the author; technical experts from appropriate fields; the Regulatory Compliance deployed person assigned to the focus area; a quality liaison; and/or an ER Project technical writer/editor.

Note: The assigned author uses his or her subject-matter expertise and judgment to determine if a required document is long enough and/or complex enough to require production by a team.

4.2.3.2 The **author** serves as the document team leader.

4.2.4 Determine the Document Requirements

4.2.4.1 The **author** (with the assistance of the document team if convened) reviews and assesses the available information and determines what actions, decisions, and/or recommendations to implement in the development of the document (see Attachment B, Environmental Restoration Project Documents

Matrix, for further information about a specific document type's review/approval requirements).

- 4.2.4.2 The **author** (with the assistance of the document team if convened) plans the content of the document and determines whether a required outline exists for the type of document under development (see Section 4.1.2 above and/or Attachment B).

If a required outline...	then the author...
does not exist,	plans an outline to accommodate the document's objectives.
exists,	ensures compliance with this outline.

- 4.2.5 Determine the Need for a Decision Peer Review

The **author** determines if a decision peer review is required according to QP-3.5, Peer Review Process.

Note: The author may contact the peer review task leader if uncertain about the need for a decision peer review.

- 4.2.6 Assign Tasks

4.2.6.1 The **author** consults a technical writer/editor assigned to organizational area to help set achievable deadlines both in relation to the document's requirements and in relation to the deadlines of other documents that are in concurrent preparation.

4.2.6.2 The **author** assigns document/section writing tasks to the members of the document team (if convened) and sets the deadline for the completion of the initial writing assignments.

4.3 Document Development

- 4.3.1 Submit Document Sections

Document team members (if convened) ensure that their sections meet the requirements of the outline and submit completed sections to the author by the deadline for finishing assignments.

- 4.3.2 Submit Electronic File and/or Paper Copy

The **author** submits electronic files of the sections submitted by individual document team members, and paper copies of references not previously submitted in a reference set to the ER technical writer/editor to compile the entire document (including all appendices and attachments).

- 4.3.3 Edit and Compile Document

- 4.3.3.1 From this point forward, the **ER Project technical writer/editor** is responsible for and coordinates the document (e.g., all the document's electronic files and the transmittal letter).
- 4.3.3.2 The **ER Project technical writer/editor** labels all electronic files with the ER Project document catalog number, taken from the first line of the ER Project Document Signature Form, a file description, and its associated software suffix (e.g., ER[current year]-xxxx Transmittal Ltr.doc).
- 4.3.3.3 The **ER Project technical writer/editor** conducts a full edit on the document including a definition check against the official Glossary and Supplemental Glossary (<http://erinternal.lanl.gov/>).
- 4.3.3.4 The **ER Project technical writer/editor** enters the notation "Draft" and the ER Project document catalog number on the cover and in the footer of each page.
- 4.3.3.5 The **ER Project technical writer/editor** compiles the edited document and provides a paper copy of the draft document to the author.
- 4.3.4 Complete the Technical Information Release Form

If the document is listed under "External Distribution" in Section 4.1.2 above and/or as shown in Attachment B, Environmental Restoration Project Documents Matrix, then concurrently with the above "full edit," the **author** ensures the completion of the TIR form located at the following Web URL, <http://enterprise.lanl.gov/alpha.htm>.
- 4.3.5 Submit the Technical Information Release Form

The **author** ensures that the TIR and the appropriate number of copies of the draft document are submitted to the Laboratory's Classification Group (S-7) for review in time to meet scheduled deadlines and before Peer Review.
- 4.4 Document Review and Approval
 - 4.4.1 Peer Review
 - 4.4.1.1 Compile the Draft Document

The **author** ensures that the ER Project technical writer/editor compiles the draft document for peer review in accordance with QP-3.5, Peer Review Process.
 - 4.4.1.2 Submit the Draft Document

The **ER Project technical writer/editor** provides a copy of the draft document to the author for peer review submission.
 - 4.4.1.3 Attach the ER Project Document Signature Form

The **author** ensures that the ER Project Document Signature Form is correctly updated and attached to the draft document.

4.4.1.4 Request a Peer Review

The **team leader** requests a peer review, in accordance with QP-3.5, Peer Review Process; the team leader may review the draft document at this time.

4.4.1.5 Perform Peer Review

The **author** submits the required copies of the complete, draft document for peer review in accordance with QP-3.5, Peer Review Process.

4.4.1.6 Acquire Signatures

The **author** acquires the Peer Review Chair, ESH-19, and, if required, the regulatory compliance deployed reviewers' approval signatures on the ER Project Signature Form after peer review completion.

4.4.2 Laboratory Counsel Review

4.4.2.1 If the document is listed under "Representative Documents for External Distribution" in Section 4.1.2 above and/or in Attachment B, Environmental Restoration Project Documents Matrix, the **author** ensures that review copies are transmitted to Laboratory Counsel with a memorandum that is generated in accordance with the process from Section 4.2.2 above that includes the

- title of the document,
 - source of the document,
 - E/ER and focus area,
 - due date for comments, and
 - name and phone number of the contact person
- and ensures that the responsible team leader signs the memorandum.

4.4.2.2 The **author** references all related document catalog numbers in the appropriate field of the associated, on-line Signature Forms.

4.4.2.3 The **author** resolves the Laboratory Counsel reviewer's comments and marks all changes on a single paper or electronic copy (if coordinated in advance with the ER Project technical writer/editor).

4.4.2.4 The **ER Project technical writer/editor** ensures that the changes are incorporated into the document, edits the

document at a level appropriate to address the changes, and ensures that the document is formatted appropriately.

4.4.2.5 The **ER Project technical writer/editor** provides a paper copy and/or an electronic copy of the revised draft to the author.

4.4.2.6 The **author** acquires Laboratory Counsel's approval signature on the ER Project Document Signature Form.

Note: If Laboratory Counsel's review initiates major changes, the author repeats the peer review process (see Section 4.3.1 above).

4.4.3 Department of Energy (DOE) Review

4.4.3.1 If required (reference Attachment B), the **author** ensures that review copies are transmitted to DOE with a transmittal letter that is generated in accordance with the process from Section 4.2.2 above and then references all associated, document catalog numbers in the appropriate fields of the associated, on-line Signature Forms.

Note: The DOE review schedule is as follows: if the document is a 1–100 page document, 10 working days; if 101–250 pages, 20 working days; and if over 250 pages, 30 working days before transmittal (see DOEAL/ERD-980002, 9/10/98, ER ID # 59895).

4.4.3.2 The **author** resolves the DOE reviewers' comments and marks all changes on a single paper or electronic copy (if coordinated in advance with the ER Project technical writer/editor).

4.4.3.3 The **ER Project technical writer/editor** ensures that the changes are incorporated into the document, edits the document at a level appropriate to address the changes, and ensures that the document is formatted appropriately.

4.4.3.4 The **ER Project technical writer/editor** provides a paper copy and/or an electronic copy of the revised draft to the author.

4.4.3.5 The **author** acquires the DOE-reviewer's approval signature on the ER Project Document Signature Form.

Note: If DOE review initiates major changes, the author repeats the peer review process in accordance to Section 4.4.1, above.

4.4.4 Draft the Transmittal Letter

If required, the **author** drafts a transmittal letter (in accordance with Section 4.2.2 above) that addresses all necessary requirements (if performance-measure-related, also see DI-4.5, Review and Approval of Performance-Measure-Related Documents) and then ensures that all

references to associated document catalog numbers are inserted in the appropriate field of all associated, Document Signature Forms.

4.4.5 Verify Proper Document Development

4.4.5.1 The **author** ensures that all of the requirements in this QP are met, including the population of all required and associated fields in the Document Signature Form (e.g., LA-UR#, associated catalog numbers, etc.).

4.4.5.2 The **author** attests to the document's completeness and accuracy with an approval signature on the ER Project Document Signature Form.

4.4.5.3 The **author** sends the ER Project Document Signature Form and the final draft document, including the draft transmittal letter, to the team leader.

4.4.5.4 The **team leader** ensures that the document was developed according to requirements with an approval signature on the ER Project Document Signature Form.

4.4.5.5 At this point the document becomes final and the **author** ensures that all draft designations are removed from what was the "Final Draft" document.

Note: Some documents (e.g., the IWP) maintain the "draft" designation for ER project document citation purposes pending AA approvals. After AA approval, the document is given a revision number in order to distinguish between previously-cited documents.

4.4.5.6 The **author** ensures that all documents, paper and electronic copies, are identified with the ER Project document catalog number as the first designation; **one** electronic copy is appropriate for submittal to the Record Processing Facility (RPF) saved as the associated software (e.g., .doc, .xls, etc.). (See Attachment C for the electronic file submission process.)

4.4.5.7 The **author** transmits a copy of the final document to Classification (S-7) with a cover memorandum (produced in accordance to Section 4.2.2 above).

4.4.5.8 The **author** ensures that a paper copy of the final document is transmitted to the peer review task leader.

4.4.6 Initiate the Project Office Review/Approval Process

4.4.6.1 The **author** sends the document to the ER Project, project office administrator.

- 4.4.6.2 If the document is performance-measure related, the **project office administrator** follows DI-4.5, Review and Approval of Performance-Measure-Related Documents.
- 4.4.6.3 If the document is **not** performance-measure related, the **project office administrator** follows the PO established process.
- 4.4.6.4 If the document is listed under “Representative Documents for External Distribution” in Section 4.1.2 above and/or in Attachment B, the **author** ensures that a copy of the document is submitted to the Deliverable Tracking and Closeout Team of the Regulatory Compliance Focus Area.

5.0 RECORDS

The **author** ensures that the following records are submitted according to QP-4.4, Record Transmittal to the Records Processing Facility.

5.1 The final document (paper copy)

5.2 The final document electronic files

Note: The electronic file is named with the ER Project document catalog number as the first designation and saved as its associated software file (e.g., .doc, .xls, etc.). (See Attachment C, ER Project Electronic File Capture Process Flow Diagram.)

5.3 Completed ER Project Document Signature Forms

5.4 Transmittal letters (if the graded approach requires)

5.5 Memoranda (if the graded approach requires)

5.6 The certification (if the graded approach requires)

5.7 Documents referenced within the document that do not currently reside in the RPF (if applicable)

5.8 Documentation of reviewer nonconcurrences with comment resolutions (if applicable)

6.0 TRAINING

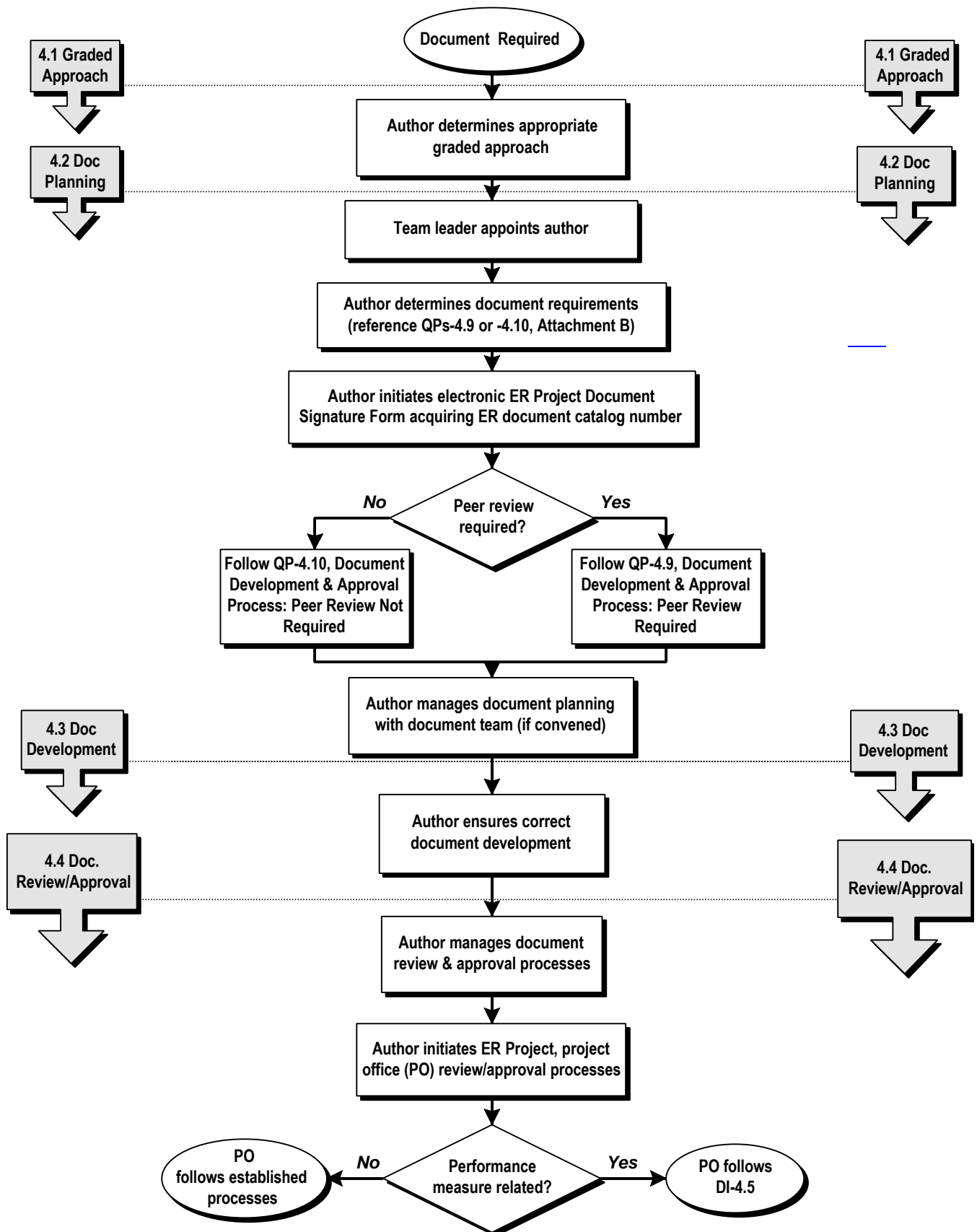
All users of this QP are trained by self-study, and the training is documented in accordance with QP-2.2, Personnel Orientation and Training.

7.0 ATTACHMENTS

Attachment A: Document Development and Approval Decision Process Flow Diagram (1 page)

Attachment B: Environmental Restoration Project Documents Matrix (2 pages)

Document Development and Approval Decision Process Flow Diagram



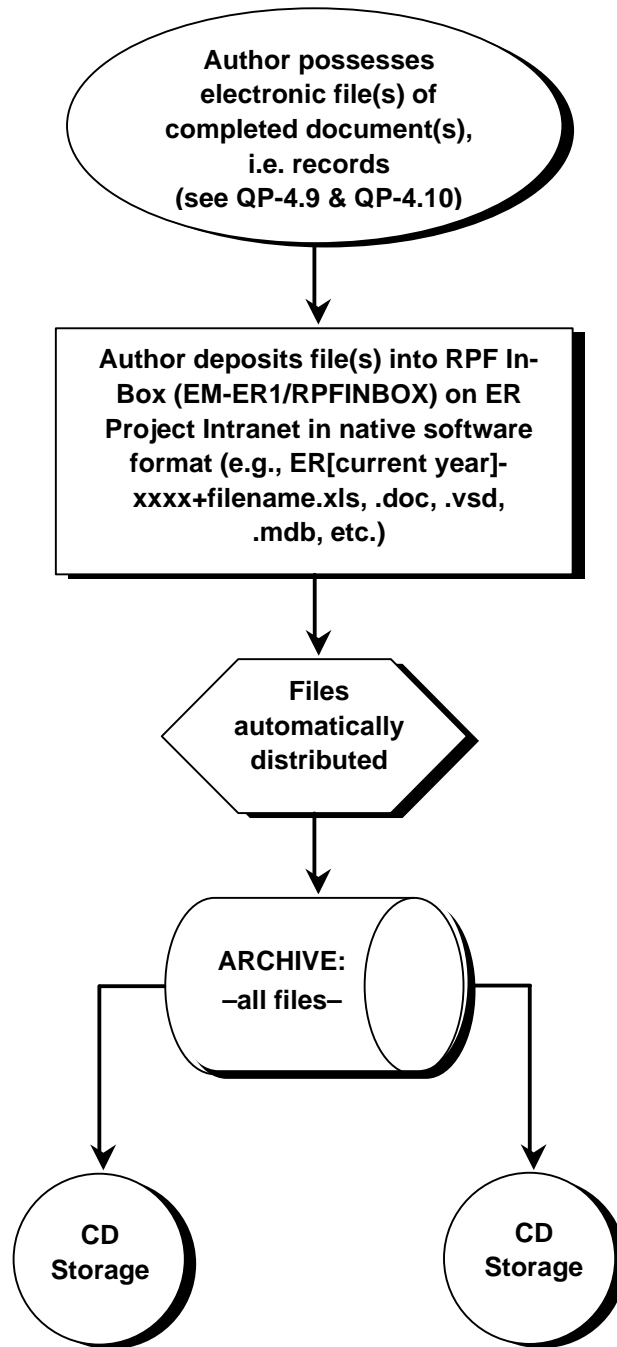
Environmental Restoration Project Documents Matrix										
DOCUMENT	REVIEW / SIGNATURE REQUIRED					SIGNATURE REQUIRED			S-7 (LA-UR#)	CERTIFICATION REQUIRED
	PEER REVIEW CHAIR	ESH-19	REGULATORY COMPLIANCE	LABORATORY COUNSEL	DOE-LAAO	FOCUS AREA LEADER	DOE-LAAO PROG. MGR.	ER PROGRAM MANAGER		
PEER REVIEW REQUIRED (QP-4.9)										
External Distribution:										
Citizens' Guide	◆	◆	◆	◆	◆	◆		◆	◆	
CMS Work Plan	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
CMS Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
Guidance Document	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Information Sheets	◆	◆	◆	◆	◆	◆		◆	◆	
Interim Action Plan	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Interim Action Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Interim Measures Plan	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Interim Measures Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	
IWP Update	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
Quarterly Technical Report*	◆	◆	◆	◆	◆	◆		◆	◆	
RCRA RFI Work Plan*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
Reach Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
RFI Report (Phase 1 & 2)*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
SAP & SAP Addendum	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Technical Paper/Report	◆	◆	◆	◆	◆	◆	◆	◆	◆	
VCA Plan*	◆	◆	◆	◆	◆	◆	◆	◆	◆	
VCA Report*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
VCM Plan*	◆	◆	◆	◆	◆	◆	◆	◆	◆	
VCM Report*	◆	◆	◆	◆	◆	◆	◆	◆	◆	◆
Well Completion Report (PM related)	◆	◆	◆	◆	◆	◆	◆	◆	◆	
Internal Distribution:										
Field Implementation Plan (FIP)	◆							◆		
QMP	◆							◆		
QP*	◆							◆		
SAP (supplemental)	◆							◆		
Site-Specific Health & Safety Plan	◆							◆		
SOP*	◆									
SOW*	◆									

* http://erinternal.lanl.gov/home_links/Library_doctemp.htm

Environmental Restoration Project Documents Matrix										
DOCUMENT	REVIEW / SIGNATURE REQUIRED					SIGNATURE REQUIRED			S-7 (LA-UR#)	CERTIFICATION REQUIRED
	PEER REVIEW CHAIR	ESH-19	REGULATORY COMPLIANCE	LABORATORY COUNSEL	DOE-LAAO	FOCUS AREA LEADER	DOE-LAAO PROG. MGR.	ER PROGRAM MANAGER		
PEER REVIEW NOT REQUIRED (QP-4.10)										
External Distribution:										
AA-Negotiated Document		◆	◆	◆	◆		◆	◆	◆	
Access Agreement				◆				◆		
Baseline Document					◆	◆	◆	◆		
Display Posters								◆		
Monthly CMS Progress Report		◆	◆	◆	◆	◆	◆	◆	◆	
Multi-Media Video								◆	◆	
Permit Modification		◆	◆	◆	◆		◆	◆	◆	◆
Public Web Page								◆	◆	
Transmittal Letter						◆	◆	◆		
Viewgraphs (external)*						◆		◆	◆	
Accelerated Process / External:										
Compliance Order Response		◆	◆	◆	◆			◆	◆	◆
NOD Response*		◆	◆	◆	◆			◆	◆	◆
RSI Response*		◆	◆	◆	◆			◆	◆	
Internal Distribution:										
Desk Instruction*										
Directive (internal)								◆		
Memorandum								◆		
Viewgraphs (internal)*										

* http://erinternal.lanl.gov/home_links/Library_doctemp.htm

ER Project Record Electronic File Capture Process Flow Diagram



Note: Electronic copies are not considered official records.